

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Agazzi *et al.*

Appl. No. 09/909,896

Filed: July 23, 2001

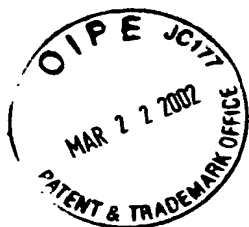
For: **Methods and Systems for Digitally  
Processing Optical Data Signals**

Confirmation No. 9207

Art Unit: 2662

Examiner: Tran, Thien

Atty. Docket: 1875.1100001



**Second Information Disclosure Statement**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- 1. This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to

the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☐ c. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
  - ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 5. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 6. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35

U.S.C. § 120. Thus, copies of these documents are not attached. 37  
C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Patrick E. Garrett  
Attorney for Applicants  
Registration No. 39,987

Date: 3/22/02

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|---|-----------------------------------|-------------------------------|
| FORM PTO-1449<br>INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO.<br>1875.1100001  | APPLICATION NO.<br>09/909,896 |
|   | APPLICANT<br>Agazzi <i>et al.</i> |                               |
|   | FILING DATE<br>July 23, 2001      | GROUP<br>2662                 |

| U.S. PATENT DOCUMENTS |     |                 |         |                        |       |           |             |
|-----------------------|-----|-----------------|---------|------------------------|-------|-----------|-------------|
| EXAMINER INITIAL      |     | DOCUMENT NUMBER | DATE    | NAME                   | CLASS | SUB-CLASS | FILING DATE |
|                       | AA1 | 5,650,954       | 07/1997 | Minuhin                | 364   | 825       | 01/1996     |
|                       | AB1 | 5,881,108       | 03/1999 | Herzberg <i>et al.</i> | 375   | 296       | 02/1996     |
|                       | AC1 | 5,996,415       | 10/1999 | Bliss <i>et al.</i>    | 375   | 350       | 06/1997     |
|                       | AD1 |                 |         |                        |       |           |             |
|                       | AE1 |                 |         |                        |       |           |             |
|                       | AF1 |                 |         |                        |       |           |             |
|                       | AG1 |                 |         |                        |       |           |             |
|                       | AH1 |                 |         |                        |       |           |             |
|                       | AI1 |                 |         |                        |       |           |             |
|                       | AJ1 |                 |         |                        |       |           |             |
|                       | AK1 |                 |         |                        |       |           |             |

| FOREIGN PATENT DOCUMENTS |     |                 |         |         |       |           |             |
|--------------------------|-----|-----------------|---------|---------|-------|-----------|-------------|
| EXAMINER INITIAL         |     | DOCUMENT NUMBER | DATE    | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL1 | 0 483 439 A1    | 10/1990 | Europe  |       |           | Yes<br>No   |
|                          | AM1 | EP 0 805 447 A2 | 03/1997 | Europe  |       |           | Yes<br>No   |
|                          | AN1 |                 |         |         |       |           | Yes<br>No   |
|                          | AO1 |                 |         |         |       |           | Yes<br>No   |
|                          | AP1 |                 |         |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |   |  |  |
|--|---|--|--|
| AR   | 1 | Olshansky, Robert <i>et al.</i> , "Subcarrier Multiplexed Lightwave Systems for Broad-Band Distribution," <i>Journal of Lightwave Technology</i> , Vol. 7, No. 9 (September 1989) pp. 1329-1341.         |  |
| AS   | 1 | Bingham, John A. C., "Multicarrier Modulation for Data Transmission: An Idea Whose Time Has Come," <i>IEEE Communications Magazine</i> . (May 1990), pp. 5-14.   |  |
| AT   | 1 | Chiddix, James A. <i>et al.</i> , "AM Video on Fiber in CATV Systems: Need and Implementation," <i>IEEE Journal on Selected Areas in Communications</i> , Vol. 8, No. 7 (September 1990), pp. 1229-1239. |  |

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|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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|---------------------|-----|-----------------|------|------|-------|-----------|-------------|
|                     | AA2 |                 |      |      |       |           |             |
|                     | AB2 |                 |      |      |       |           |             |
|                     | AC2 |                 |      |      |       |           |             |
|                     | AD2 |                 |      |      |       |           |             |
|                     | AE2 |                 |      |      |       |           |             |
|                     | AF2 |                 |      |      |       |           |             |
|                     | AG2 |                 |      |      |       |           |             |
|                     | AH2 |                 |      |      |       |           |             |
|                     | AI2 |                 |      |      |       |           |             |
|                     | AJ2 |                 |      |      |       |           |             |
|                     | AK2 |                 |      |      |       |           |             |

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|---------------------|-----|-----------------|------|---------|-------|-----------|-------------|
|                     | AL2 |                 |      |         |       |           | Yes<br>No   |
|                     | AM2 |                 |      |         |       |           | Yes<br>No   |
|                     | AN2 |                 |      |         |       |           | Yes<br>No   |
|                     | AO2 |                 |      |         |       |           | Yes<br>No   |
|                     | AP2 |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |          |  |
|----|----------|--|
| AR | <u>2</u> | Darcie, Thomas E., "Subcarrier Multiplexing for Lightwave Networks and Video Distribution Systems," <i>IEEE Journal on Selected Areas in Communications</i> , Vol. 8, No. 7 (September 1990), pp. 1240-1248.               |
| AS | <u>2</u> | Olshansky, Robert <i>et al.</i> , "Subcarrier Multiplexed Coherent Lightwave Systems for Video Distribution," <i>IEEE Journal on Selected Areas in Communications</i> , Vol. 8, No. 7 (September 1990), pp. 1268-1275.     |
| AT | <u>2</u> | Kanno, Norio and Ito, Katsuyoshi, "Fiber-Optic Subcarrier Multiplexing Video Transport Employing Multilevel QAM," <i>IEEE Journal on Selected Areas in Communications</i> , Vol. 8, No. 7 (September 1990), pp. 1313-1319. |

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| EXAMINER<br>INITIAL   |     | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|                       | AA3 |                 |      |      |       |           |             |
|                       | AB3 |                 |      |      |       |           |             |
|                       | AC3 |                 |      |      |       |           |             |
|                       | AD3 |                 |      |      |       |           |             |
|                       | AE3 |                 |      |      |       |           |             |
|                       | AF3 |                 |      |      |       |           |             |
|                       | AG3 |                 |      |      |       |           |             |
|                       | AH3 |                 |      |      |       |           |             |
|                       | AI3 |                 |      |      |       |           |             |
|                       | AJ3 |                 |      |      |       |           |             |
|                       | AK3 |                 |      |      |       |           |             |

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|--------------------------|-----|-----------------|------|---------|-------|-----------|-------------|
| EXAMINER<br>INITIAL      |     | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL3 |                 |      |         |       |           | Yes<br>No   |
|                          | AM3 |                 |      |         |       |           | Yes<br>No   |
|                          | AN3 |                 |      |         |       |           | Yes<br>No   |
|                          | AO3 |                 |      |         |       |           | Yes<br>No   |
|                          | AP3 |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |          |   |  |
|--|----------|---|--|
| AR   | <u>3</u> | Liu, Ming-Kang and Modestou, Panayiotis C., "Multilevel Signaling and Pulse Shaping for Spectrum Efficiency in Subcarrier Multiplexing Transmission," <i>Journal of Lightwave Technology</i> , Vol. 12, No. 7 (July 1994), pp. 1239-1246. |  |
| AS   | <u>3</u> | Hatamian, Mehdi <i>et al.</i> , "Design Considerations for Gigabit Ethernet 1000Base-T Twisted Pair Transceivers," <i>Proceedings of the Custom Integrated Circuits Conference</i> , May 11-14, 1998, pp. 335-342.                        |  |
| AT   | <u>3</u> | Frazier, Howard, "10Gig MII update," <i>IEEE 802.3 Higher Speed Study Group</i> , November 9, 1999, pp. 1-24.   |  |

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|---------------------|-----|-----------------|------|------|-------|-----------|-------------|
|                     | AA4 |                 |      |      |       |           |             |
|                     | AB4 |                 |      |      |       |           |             |
|                     | AC4 |                 |      |      |       |           |             |
|                     | AD4 |                 |      |      |       |           |             |
|                     | AE4 |                 |      |      |       |           |             |
|                     | AF4 |                 |      |      |       |           |             |
|                     | AG4 |                 |      |      |       |           |             |
|                     | AH4 |                 |      |      |       |           |             |
|                     | AI4 |                 |      |      |       |           |             |
|                     | AJ4 |                 |      |      |       |           |             |
|                     | AK4 |                 |      |      |       |           |             |

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|---------------------|-----|-----------------|------|---------|-------|-----------|-------------|
|                     | AL4 |                 |      |         |       |           | Yes<br>No   |
|                     | AM4 |                 |      |         |       |           | Yes<br>No   |
|                     | AN4 |                 |      |         |       |           | Yes<br>No   |
|                     | AO4 |                 |      |         |       |           | Yes<br>No   |
|                     | AP4 |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |          |   |
|----|----------|---|
| AR | <u>4</u> | Alderrou, Don <i>et al.</i> , "XAUI/XGXS Proposal," IEEE 802.3ae Task Force, May 23-25, 2000, slides 1-26 |
| AS | <u>4</u> |   |
| AT | <u>4</u> |   |

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